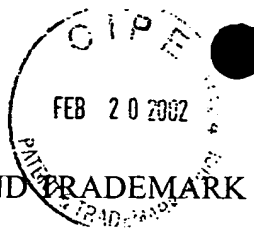


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UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant or Patentee: Gerald P. Sullivan

Serial No. or Patent No.: 09/624,732

Filed or Issued: July 25, 2000

Art Unit: 2165

Examiner: James Zurita

Title: **APPARATUS AND METHOD FOR CREATING AND MANAGING A
FINANCIAL INSTRUMENT**

RECEIVED

FEB 27 2002

Technology Center 2100

Assistant Commissioner for Patents
Washington, D.C. 20231

January 17, 2002

AMENDMENTS

In response to the Office Action dated September 17, 2001, the time for responding thereto having been requested to be extended, please amend the above-identified application as follows:

In the Specification:

Please change the specification as follows:

Page 3, after line 17 add -- Figure 11 illustrates the allocation of an investment share

A' to each security of an industry. --

Page 4, line 2: change "Standard & Poors" for --STANDARD & POORS--;

02/26/2002 BNGUYEN1 00000036 09624732

01 FD:203 135.00 3F
02 FD:202 152.00 3F